SUCCESSION PLANNING TOOLKIT

CPS HR CONSULTING

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5 BASIC STEPS TO SUCCESSION PLANNING

This toolkit outlines a simple, five-step process, describing the purpose of each step, key principles and/or phases within each step, intended outcomes and helpful tools embedded in each step to help government agencies begin their journey to developing future leadership and guarding institutional knowledge.

Each step of the toolkit contains processes linked to specific tools and templates that clients can use to achieve outcomes related to succession planning. These tools can be used as is or modified to suit any particular agency's needs.

The five-step process is outlined below:

STEP 1	STEP 2	STEP 3	STEP 4	STEP 5
Identifying Key Positions	Identifying Participants	Preparing Participants	Developing Participants	Monitoring Progress & Recognizing Achievement

DEVELOPING FUTURE LEADERS IS MOST EFFECTIVE WHEN ORGANIZATIONS CONSIDER **THREE** CRITICAL VARIABLES:

1. The carefully planned and aligned direction of the organization. This includes strategic alignment with the goals and mission of the organization as well as executive and managerial ownership and involvement in talent development.
2. Identifying key competencies and competency gaps at the positional level and vital organizational competencies that are critical to the future operation of the agency
3. A recruiting and developmental process to ensure the agency doesn't suffer timing lapses or gaps in needed future leadership

STEP 2 – IDENTIFYING PARTICIPANTS

move up in the organization when there is a possibility that the employee has no intention on participating in succession planning or moving up in the organization. The idea of having a self-nomination process in place prevents these types of missteps or awkward assumptions, which can save time and potential embarrassment for management. The self-nomination also helps the SPOC to see why candidates aspire to leadership positions. A self-nomination process can be applied through a ***Candidate Application***.

2. Assessing competencies: The use of a ***Competency Assessment***, which can be included in the candidate application, can assist management in defining the specific knowledge, skills and abilities for the competencies relevant to the respective position as well as assessing succession plan applicants on those same competencies. Supervisors should complete the same competency assessment for candidates who assess themselves using the same tool.

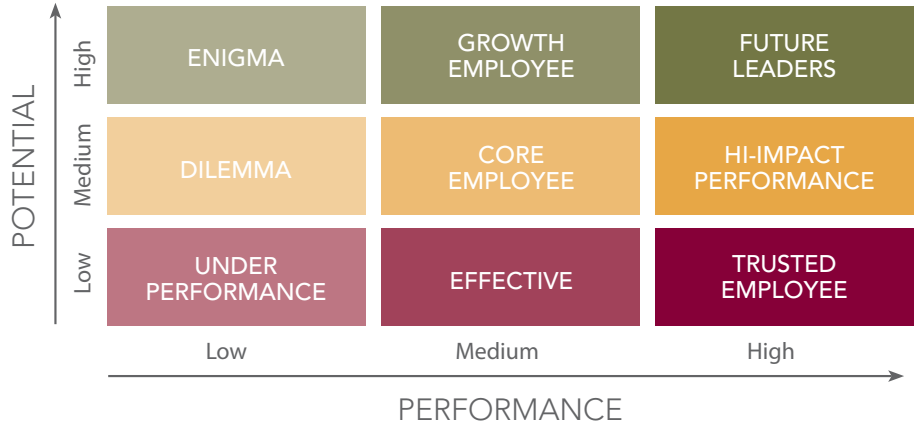
3. Assessing ability: In addition, it is recommended that the direct supervisor complete the ***Candidate Potential Rating Form***, which assesses a candidate's ability to grow within the organization. This exercise will measure each relevant ability as it pertains to the respective future position and will assist with determining where to place an applicant on the Potential Axis of the ***9-Box Tool***. The 9-Box Tool will be explained in greater detail next under the Performance piece of identifying participants.

Performance

Even though an employee might have aptitudes or skills that would make them good candidates for step-up positions, it would not be prudent to consider poor-performing or average-performing participants. Implement (if not done already) a fair and thorough performance management tool, which assesses individuals based on behavioral competencies and performance in their current work roles. Without a performance management tool, future leadership identification can be difficult and subjective. Managers and HR professionals in most organizations are able to accomplish this process with a great deal of accuracy and precision depending on the current performance management process.

Using the criteria of potential and performance, the SPOC can use a particular tool known as a ***9-Box Tool***. A 9-Box Tool is an assessment tool used to evaluate an organization's talent pool and to identify potential leaders; a simple table graph that rates an employee's potential (low, medium or high) on the vertical axis and performance (low, medium or high) on the horizontal axis; employees placed in the high-potential/high-performance box are the best candidates for succession. A basic graphic representation of a 9-box tool is shown below:

9-BOX TOOL:



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Developmental Pathway Table

Example of table for determining current plus future needed developmental paths for closing competency gaps.

Competency	Internally Provided			Externally Provided	
	Courses , workshops, academies	OJT resources	Self-learning resources	Professional organizations	Courses, certificates, academies
Learning Desiring and making an effort to acquire new knowledge and skills for work. Concern for the acquisition of new job knowledge. Behavioral indicators: • Demonstrates an understanding of new information • Masters new technical and organizational concepts and information • Builds on strengths and addresses weaknesses • Curious • Pursues self-development on a continual basis • Seeks feedback from others and is receptive to new ideas and perspectives • Seeks opportunities to master new knowledge					